

Personal Balance Sheet

Prepare in accordance with generally accepted accounting principles to show the current financial condition of the applicant. Append footnotes to this statement, reflecting contingent liabilities such as note endorsements, warranties, pending litigation, etc. Please attach any documentation which may explain or support a particular entry; i.e., IRS repay agreements. Space is provided on page 2 for notes. Attach additional sheets if necessary.

Current assets should include only cash and other items that will be turned into cash within the same 12 months. For Notes Receivable, include only that portion due within 12 months. Income can be shown as a receivable if it has been earned and not yet received. Current liabilities are liabilities due within 12 months of the date of balance sheet. Long term liabilities are liabilities due beyond 12 months from the date of balance sheet.

Date of balance sheet

MM / DD / YY

Method of valuation used:  
Use same method for all assets

☐ Market value

☐ Cost

Name of Applicant

CRD Number

CURRENT ASSETS

1. Cash

2. Checking/Savings

3. Stocks, Bonds, Mutual Funds (see note below)

4. IRA, 401K, Keogh (vested interest)

5. Life Insurance (cash surrender value only)

6. Accounts Receivable

7. Total Current Assets:

FIXED ASSETS

8. Primary Residence

9. Other Residence

10. Real Estate - Rental Property

11. Automobiles

12. Furniture

13. Collectibles

14. Antiques

15. Jewelry

16.

17.

18. Total Fixed Assets:

19. TOTAL ASSETS (add line 7 and line 18)

CURRENT LIABILITIES

20. Automobile Loan(s)

21. Credit Card Debt(s)

22. Personal Loans

23. Student Loans

24. Personal Estimated Taxes Payable:

25. Real Estate Estimated Taxes Payable:

26. Other Estimated Taxes Payable:

27. Contingent Liabilities

28.

29. Total Current Liabilities:

LONG-TERM LIABILITIES

Mortgages Payable:

30.

31.

32.

33.

Lien(s): please list separately

34.

35.

36.

37.

38. Personal Loans:

39. Student Loans

40. Other: (i.e., Insurance Payable, Accounts Payable, Chapter 13 balance)

41. Total Long-Term Liabilities

42. TOTAL LIABILITIES (add line 29 and line 41)

43. NET WORTH (subtract line 42 from line 19)

Note for Stocks, Bonds and Mutual Funds:

Prepare and attach a separate schedule of all securities owned, listing:

Name

Number of shares or units

Current market value

Use this section for footnotes to balance sheet entries and for additional explanations as requested in instructions. Reference each footnote by its corresponding line number from page one of this form. Attach additional sheets if necessary.

### Certification

This Balance Sheet, including all footnotes and attachments is a true, complete and correct statement of my financial condition on the date of balance sheet indicated on page one.

Signature	Date signed	Daytime telephone number (please include area code)
Signer's name (typed or printed)		

PA 265 of 1964 as amended requires submission by each applicant. Failure to properly complete and file this form may result in denial or revocation of your license, or other compliance action.

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